



41

3621/11

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 22, 2004

Carol Burchfield  
Carol Burchfield

Applicant : Craig L. Ogg, et al.  
Application No. : 09/688,456  
Filed : October 16, 2000  
Title : CRYPTOGRAPHIC MODULE FOR SECURE PROCESSING OF  
VALUE-BEARING ITEMS

Grp./Div. : 3621  
Examiner : Firmin Backer  
Docket No. : 39778/SAH/S850

RECEIVED  
SEP 28 2004

GROUP 3600

INFORMATION DISCLOSURE STATEMENT WITH FEE  
UNDER 37 CFR §§ 1.97(c) AND 1.17(p)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Post Office Box 7068  
Pasadena, CA 91109-7068  
September 22, 2004

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO/SB/08A/B listing the references that are known to applicant. Copies of each of the listed references are enclosed.

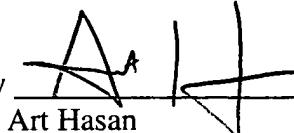
It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO/SB/08A/B be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Enclosed is the processing fee of \$180 as required by 37 CFR § 1.17(p). The Commissioner is hereby authorized to charge any fees which may be required by this paper to

**Application No. 09/688,456**

Deposit Account No. 03-1728. Please show our docket number with any Deposit Account transaction. **A copy of this paper is enclosed.**

Respectfully submitted,  
CHRISTIE, PARKER & HALE, LLP

By   
Art Hasan  
Reg. No. 41,057  
626/795-9900

SAH/tmw

Enclosures: Check \$180  
Copy of IDS  
Form PTO/SB/08A/B, w/references

TMW PAS585061.1-\*09/22/04 8:16 AM

INFORMATION DISCLOSURE  
SEP 24 2004  
STATEMENT BY APPLICANT

(use as many sheets as necessary)

|                        |                      |
|------------------------|----------------------|
| Attorney Docket Number | 39778/SAH/S850       |
| Application Number     | 09/688,456           |
| Filing Date            | October 16, 2000     |
| Applicant(s)           | Craig L. Ogg, et al. |
| Group Art Unit         | 3621                 |
| Examiner Name          | Firmin Backer        |

U.S. PATENT DOCUMENTS

| EXAMINER INITIALS | CITE NO. <sup>1</sup> | DOCUMENT NUMBER<br>Number - Kind Code <sup>2</sup> (If Known) | PUBLICATION DATE<br>MM-DD-YYYY | NAME OF PATENTEE |
|-------------------|-----------------------|---|--------------------------------|------------------|
|                   |                       | 5,048,085   | 09-10-1991                     | Abraham et al.   |
|                   |                       | 5,058,008   | 10-15-1991                     | Schumacher       |
|                   |                       | 5,075,865   | 12-24-1991                     | Kawamura et al.  |
|                   |                       | 5,181,245   | 01-19-1993                     | Jones            |
|                   |                       | 5,325,519   | 06-28-1994                     | Long et al.      |
|                   |                       | 5,341,505   | 08-23-1994                     | Whitehouse       |
|                   |                       | 5,377,268   | 12-27-1994                     | Hunter           |
|                   |                       | 5,390,251   | 02-14-1995                     | Pastor et al.    |
|                   |                       | 5,448,641   | 09-05-1995                     | Pintsov et al.   |
|                   |                       | 5,471,925   | 12-05-1995                     | Heinrich et al.  |
|                   |                       | 5,561,795   | 10-01-1996                     | Sarkar           |
|                   |                       | 5,570,465   | 10-29-1996                     | Tsakanikas       |
|                   |                       | 5,598,477   | 01-28-1997                     | Berson           |
|                   |                       | 5,659,616   | 08-19-1997                     | Sudia            |
|                   |                       | 5,668,897   | 09-16-1997                     | Stolfo           |
|                   |                       | 5,684,951   | 11-04-1997                     | Goldman et al.   |
|                   |                       | 5,729,734   | 03-17-1998                     | Parker et al.    |
|                   |                       | 5,742,683   | 04-21-1998                     | Lee et al.       |
|                   |                       | 5,781,634   | 07-14-1998                     | Cordery et al.   |
|                   |                       | 5,793,867   | 08-11-1998                     | Cordery et al.   |
|                   |                       | 5,812,990   | 09-22-1998                     | Ryan, Jr. et al. |
|                   |                       | 5,812,991   | 09-22-1998                     | Kara             |
|                   |                       | 5,819,240   | 10-06-1998                     | Kara             |
|                   |                       | 5,822,739   | 10-13-1998                     | Kara             |

RECEIVED

GROUP 3800

| EXAMINER SIGNATURE |  | DATE CONSIDERED |  |
|--------------------|--|-----------------|--|
|                    |  |                 |  |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.pto.gov](http://www.pto.gov) or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

INFORMATION DISCLOSURE  
SEP 24 2004  
STATEMENT BY APPLICANT

(use as many sheets as necessary)

|                        |                      |
|------------------------|----------------------|
| Attorney Docket Number | 39778/SAH/S850       |
| Application Number     | 09/688,456           |
| Filing Date            | October 16, 2000     |
| Applicant(s)           | Craig L. Ogg, et al. |
| Group Art Unit         | 3621                 |
| Examiner Name          | Firmin Backer        |

U.S. PATENT DOCUMENTS

| EXAMINER INITIALS                     | CITE NO. <sup>1</sup> | DOCUMENT NUMBER<br>Number - Kind Code <sup>2</sup> (If Known) | PUBLICATION DATE<br>MM-DD-YYYY | NAME OF PATENTEE    |
|---------------------------------------|-----------------------|---|--------------------------------|---------------------|
|                                       |                       | 5,867,578   | 02-02-1999                     | Brickell et al.     |
|                                       |                       | 5,918,234   | 06-29-1999                     | Shah, et al.        |
|                                       |                       | 5,930,796   | 07-27-1999                     | Pierce et al.       |
|                                       |                       | 5,940,383   | 08-17-1999                     | Willkie             |
|                                       |                       | 5,956,404   | 09-21-1999                     | Schneier et al.     |
|                                       |                       | 5,978,484   | 11-02-1999                     | Apperson et al.     |
|                                       |                       | 5,983,227   | 11-09-1999                     | Nazem et al.        |
|                                       |                       | 6,010,156   | 01-04-2000                     | Block               |
| RECEIVED<br>SEP 28 2004<br>GROUP 3600 |                       | 6,058,384   | 05-02-2000                     | Pierce et al.       |
|                                       |                       | 6,061,671   | 05-09-2000                     | Baker et al.        |
|                                       |                       | 6,070,150   | 05-30-2000                     | Remington et al.    |
|                                       |                       | 6,105,063   | 08-15-2000                     | Hayes, Jr.          |
|                                       |                       | 6,134,582   | 10-17-2000                     | Kennedy             |
|                                       |                       | 6,161,139   | 12-12-2000                     | Win et al.          |
|                                       |                       | 6,164,528   | 12-26-2000                     | Hills et al.        |
|                                       |                       | 6,223,166 B1  | 04-24-2001                     | Kay                 |
|                                       |                       | 6,233,568 B1  | 05-15-2001                     | Kara                |
|                                       |                       | 6,249,777 B1  | 06-19-2001                     | Kara et al.         |
|                                       |                       | 6,275,824 B1  | 08-14-2001                     | O'Flaherty et al.   |
|                                       |                       | 6,286,098 B1  | 09-04-2001                     | Wenig et al.        |
|                                       |                       | 6,324,523 B1  | 11-27-2001                     | Killeen, Jr. et al. |
|                                       |                       | 6,367,013 B1  | 04-02-2002                     | Bisbee et al.       |
|                                       |                       | 6,385,654 B1  | 05-07-2002                     | Tanaka              |
|                                       |                       | 6,385,731 B2  | 05-07-2002                     | Ananda              |

| EXAMINER SIGNATURE |  | DATE CONSIDERED |  |
|--------------------|--|-----------------|--|
|                    |  |                 |  |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.pto.gov](http://www.pto.gov) or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

|  |                        |                      |
|--|------------------------|----------------------|
| <p>FORM PTO/SB/08A/B (10-01)<br/>Substitute for PTO-1449A/B</p> <p><b>INFORMATION DISCLOSURE<br/>SEP 24 2004<br/>STATEMENT BY APPLICANT</b></p> <p>(use as many sheets as necessary)</p> | Attorney Docket Number | 39778/SAH/S850       |
|  | Application Number     | 09/688,456           |
|  | Filing Date            | October 16, 2000     |
|  | Applicant(s)           | Craig L. Ogg, et al. |
|  | Group Art Unit         | 3621                 |
|  | Examiner Name          | Firmin Backer        |

| U.S. PATENT DOCUMENTS |                       |   |                                |                  |
|-----------------------|-----------------------|---|--------------------------------|------------------|
| EXAMINER INITIALS     | Cite No. <sup>1</sup> | DOCUMENT NUMBER<br>Number - Kind Code <sup>2</sup> (If Known) | PUBLICATION DATE<br>MM-DD-YYYY | NAME OF PATENTEE |
|                       |                       | 6,408,286 B1  | 06-18-2002                     | Heiden           |
|                       |                       | 6,427,021 B1  | 07-30-2002                     | Fischer et al.   |
|                       |                       | 6,466,921 B1  | 10-15-2002                     | Cordery et al.   |
|                       |                       | 6,567,794 B1  | 05-20-2003                     | Cordery et al.   |
|                       |                       | 6,636,983 B1  | 10-21-2003                     | Levi             |
|                       |                       | US 2001/0037320 A1  | 11-01-2001                     | Allport et al.   |
|                       |                       | US 2001/0055388 A1  | 12-27-2001                     | Kaliski, Jr.     |
|                       |                       | US 2002/0046193 A1  | 04-18-2002                     | Bator et al.     |
|                       |                       | US 2002/0095383   | 07-18-2002                     | Mengin et al.    |
|                       |                       | US 2003/0130954 A1  | 07-10-2003                     | Carr et al.      |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |  |
|--------------------------|-----------------------|---|--------------------------------|--|
| EXAMINER INITIALS        | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup><br>(If Known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
|                          |                       | EP 0 360 225 A2   | 03-28-1990                     | Pastor   |
|                          |                       | EP 0 576 113 A2   | 12-29-1993                     | Heinrich, et al.                                   |
|                          |                       | EP 0 604 146 A3   | 06-29-1994                     | Herbert  |
|                          |                       | EP 0 604 146 B1   | 11-26-1997                     | Herbert  |
|                          |                       | EP 0 604 148 A3   | 06-29-1994                     | Herbert  |
|                          |                       | EP 0 647 925 A2   | 04-12-1995                     | Pintsov, et al.                                    |
|                          |                       | EP 0 854 448 A2   | 07-22-1998                     | Bresnan, et al.                                    |
|                          |                       | EP 0 892 367 A2   | 01-20-1999                     | Bass, et al.                                       |
|                          |                       | GB 2318486 A  | 04-22-1998                     | Holloway   |
|                          |                       | WO 98/13790 A1  | 04-02-1998                     | Brookner, et al.                                   |

|   |  |                    |  |
|---|--|--------------------|--|
| EXAMINER SIGNATURE  |  | DATE<br>CONSIDERED |  |
| <p>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at <a href="http://www.pto.gov">www.pto.gov</a> or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.</p> |  |                    |  |

|  |                        |                      |
|--|------------------------|----------------------|
| FORM PTO/SB/08A/B (10-01)<br>Substitute for PTO-1449A/B<br><br><b>INFORMATION DISCLOSURE</b><br><b>SEP 24 2004</b><br><b>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) | Attorney Docket Number | 39778/SAH/S850       |
|  | Application Number     | 09/688,456           |
|  | Filing Date            | October 16, 2000     |
|  | Applicant(s)           | Craig L. Ogg, et al. |
|  | Group Art Unit         | 3621                 |
|  | Examiner Name          | Firmin Backer        |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |  |
|--------------------------|-----------------------|---|--------------------------------|--|
| EXAMINER INITIALS        | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup><br>(If Known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
|                          |                       | WO 98/57460 A1  | 12-17-1998                     | Cordery, et al.                                    |
|                          |                       | WO 99/18514 A1  | 04-15-1999                     | Costigan, et al.                                   |
|                          |                       | WO 00/19382 A1  | 04-06-2000                     | Ananda   |
|                          |                       | WO 00/70503 A1  | 11-23-2000                     | Brookner   |
|                          |                       | WO 01/50227 A2  | 07-12-2001                     | Mattern, et al.                                    |

| OTHER DOCUMENTS   |                       |  |
|-------------------|-----------------------|--|
| EXAMINER INITIALS | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
|                   |                       |  |
|                   |                       |  |
|                   |                       |  |
|                   |                       |  |
|                   |                       |  |

TMW PASS4801.1--09/17/04 10:58 AM

RECEIVED

SEP 28 2004

GROUP 3600

|  |  |                    |  |
|--|--|--------------------|--|
| EXAMINER SIGNATURE   |  | DATE<br>CONSIDERED |  |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="http://www.pto.gov">www.pto.gov</a> or MPEP 901.4. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English Language Translation is attached. |  |                    |  |